· IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

Arnold Plonski

Serial No.:

N/A

Filed:

Filed Herewith

For:

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PREDETERMINED INDEX OF ETC TYPE PORTFOLIO

Pitney, Hardin, Kipp & Szuch LLP 685 Third Avenue New York, New York 10017

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

SIR:

Applicants respectfully request that the four (4) U.S. patents and references listed on attached PTO Form 1449 be considered and made of record in the above-identified application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed: Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on December 29, 2003

Ronald E. Brown

Attorney

December 29, 2003

Date of Signature

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Account No. 50-1145, Order No. 004881.106357.

Copies of these documents are enclosed.

Respectfully submitted,

Gerald Levy

Registration No. 24,419

Ronald E. Brown

Registration No. 32,200

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INFORMATION DISCLOSURE CITATION

Docket Number (Optional)	Application Number N/A			
004881.106357				
Applicant(s)				
Filing Date	Group Art Unit			
TT 4.5				

		(Use several sheets if neces	sary)						
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				U.S. PAT	ENT DOCUMENTS				
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE		NAME		SUBCLASS	SUBCLASS FILING DATE IF APPROPRIATE	
		US 2002/0174056 A1	11/21/02	Sefein e	t al.				
		US 2003/0069821 A1	4/10/03	Williams Anderson					
		6,064,985	5/16/00						
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REF		DOCUMENT NUMBER	CUMENT NUMBER DATE		COUNTRY		SUBCLASS	Translation YES NO	
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	:	"Strategies for Equity	Investors-Cover	ed Combinat	tion", E*Trade Canac	da, pgs. 1-6			
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EXAMINE	R				DATE CONSIDERED				

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.